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| TO: | U.S. Patent & Trademark Office (USPTO) | FROM: | Prof. Thomas A. Rhee |
| FAX: | (571) 273-8300 | PAGES: | 4 including this cover page |
| PHONE: | (571) 272-6748 | DATE: | 10/24/2008 |
| RE: | Request for Continuing Examination (RCE) | CC: | Application No. 09/776,379 |

☒ Urgent ☐ For Review ☐ Please Comment ☐ Please Reply ☐ Please Recycle

Comments:

To the attention of Examiner Mr. Jagdish Patel

Application No. 09/776,379 | 1
Reply to Office Action of October 17, 2008

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant: Thomas A. Rhee

Serial No. 09/776,379

Filed: February 2, 2001


For: REAL LIFE IMPLEMENTATION
OF MODERN PORTFOLIO
THEORY (MPT) FOR FINANCIAL
PLANNING AND PORTFOLIO
MANAGEMENT

Examiner: Jagdish Patel

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Thomas A. Rhee

Name

 Oct 24, 2008

Signature

Date

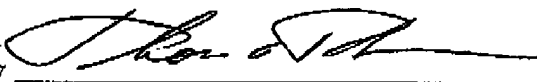
AMENDMENT

Mail Stop AF
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action of October 17, 2008, this Applicant hereby submits Request for Continuing Examination (RCE). An examination fee of \$405 is being paid under the Small Entity Status. Attached hereto please find a copy of RCE Transmittal Form and Credit Card Payment Form.

Respectfully submitted,

By 

Thomas A. Rhee

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PTO/SB/30 (09-08)

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**Request
for
Continued Examination (RCE)
Transmittal**

Address to:
Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

| | |
|------------------------|------------------|
| Application Number | 09/776,379 |
| Filing Date | February 2, 2001 |
| First Named Inventor | THOMAS A. RHEE |
| Art Unit | 3693 |
| Examiner Name | JAGDISH PATEL |
| Attorney Docket Number | |

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

- a. ☒ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____

- ii. ☒ Other Amendment filed on September 24, 2008

- b. ☐ Enclosed

- i. ☐ Amendment/Reply

- iii. ☐ Information Disclosure Statement (IDS)

- ii. ☐ Affidavit(s)/ Declaration(s)

- iv. ☐ Other _____

2. **Miscellaneous**

- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)

- b. ☐ Other _____

3. **Fees**

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

- a. ☐ The Director is hereby authorized to charge the following fees, any underpayment of fees, or credit any overpayments, to Deposit Account No. _____

- i. ☐ RCE fee required under 37 CFR 1.17(e)

- ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17) 10/24/2008 PCHOMP 00000051 09776379

- iii. ☐ Other 01 FC:2001 485 00 0P

- b. ☐ Check in the amount of \$ _____ enclosed

- c. ☒ Payment by credit card (Form PTO-2038 enclosed)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

| | | | |
|-------------------|----------------|------------------|------------------|
| Signature | | Date | October 24, 2008 |
| Name (Print/Type) | Thomas A. Rhee | Registration No. | |

CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below:

| | |
|-------------------|------------------|
| Signature | |
| Name (Print/Type) | Thomas A. Rhee |
| Date | October 24, 2008 |

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.